

ARC920010011US1  
03/902,729REMARKS

This amendment is in response to the Examiner's Office Action dated 2/18/2005. Minor changes have been made to amend the claims without adding new subject matter. Reconsideration of this application is respectfully requested in view of the foregoing amendment and the remarks that follow.

STATUS OF CLAIMS

Claims 1-27 are pending.

Claims 1, 2, 4, 7-14 and 18-22 stand rejected under 35 USC § 102(b) as being anticipated by Zhang et al. (USP 6016478).

Claims 23-27 stand rejected under 35 USC § 102(b) as being anticipated by Arent (USP 6018724).

Claims 3 and 17 stand rejected under 35 USC § 103(a) as being unpatentable over Zhang as applied to claim 1, and further in view of Kim (USP 6546002).

Claims 5, 6, 15 and 16 stand rejected under 35 USC § 103(a) as being unpatentable over Zhang as applied to claims 1 and 14, and further in view of Godfrey et al. (USP 6463463).

OVERVIEW OF CLAIMED INVENTION

The presently claimed invention describes a system and method for providing a user with information associated with the source of an incoming call or message. This information is retrieved from entries stored in a personal information management (PIM) database. When a user receives a call/message, it is sometimes necessary for the user to access, immediately, all the

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information relating to the caller/sender to efficiently handle the communication. In some cases, the user needs to be reminded of issues to be addressed, schedules to be reminded of or any relevant data in relation to the caller/sender. For example, an insurance agent may require all the information relating to a particular accident at the time a claimant calls to proceed with filing a claim. Thus, the present invention provides a communication triggered automatic retrieval of information related to a caller/sender.

In the preferred embodiment, a retrieval of data available on the originator/transmitter of the call/message is automatically triggered and displayed to a user receiving the message, in a manner somewhat similar to CallerID. First, the system of the present invention identifies the caller/sender using an agent associated with the specific communication device/means transmitting the communication. Second, after the user receives the call/message, the system retrieves associated entries in a database using the present invention's just-in-time-retrieval system. Third, the information which is based on the identity of the caller/sender is then summarized and organized for display any of a plurality of devices accessible by the user. For example, information on a caller who makes a telephone call to the user can be displayed, at the user's election, on a Personal Data Assistant (PDA), computer, pager, or other communications device.

In another embodiment, the information is provided at the direct request of a user who supplies the system with a client identifier used to locate and gather related entries and records stored in a database. The gathered information is then summarized and organized for display on a user accessible communications device. In yet another embodiment, the present invention is implemented in a business model wherein one or more analysts and one or more traders rely on

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an implementation of the system of the present invention downloaded to electronic devices, such as a PDA, cellular phone, or pager.

REJECTIONS UNDER 35 USC § 102(b)

Claims 1, 2, 4, 7-14 and 18-22 stand rejected under 35 USC § 102(b) as being anticipated by Zhang et al. (USP 6016478). In addition, claims 23-27 stand rejected under 35 USC § 102(b) as being anticipated by Arent (USP 6018724).

For a claim to be properly rejected under 35 U.S.C. § 102(b), each and every element of the claim must be found in a single reference. Both the Zhang and Arent references, either singly or in combination, fail to provide or suggest many of the claimed elements and therefore deemed an improper rejection under 35 U.S.C. § 102(b).

With regards to independent claims 1, 10, and 14, the Examiner has cited the Zhang et al. reference (hereafter, "Zhang") as providing for a PIM database information retrieval and rendering that is automatically triggered by the receipt of communication from a transmitter and in the alternative, an information retrieval and rendering manually triggered by a requesting user. Zhang appears to have been included primarily for its discussion of scheduling time-based information for multiple individuals that are remotely located. The Zhang method is a scheduler with capabilities to process variables representing "accept", "decline", "reschedule", and "delegate" primitives for the purposes of scheduling a meeting or reserving physical resources (e.g., a projector, a conference room, or a computer). A user hits a button indicating their desire to accept or decline the meeting and that response is wrapped in a wrapper that allows communication with proprietary SideKick (SK) software. Zhang is directed to obviating the need for having the SideKick (SK) software installed on a remote user's computer and for

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allowing scheduling between users of different email clients in different time zones. Zhang makes no mention of determining the identity of a responding, remotely-located user – presumably, this is known since a centrally-located SideKick system scheduler multicasts a scheduling request message to a group of known users.

The present invention is distinguished from Zhang in that the provision of information associated with the identity of transmitter is automatically rendered and is triggered by the receipt of communication from said transmitter or manually by a direct request for information from the user. The Zhang reference makes no mention of providing identifying information to a user about incoming messages, callers, or communications transmitters. The present invention teaches the reception of communication from any one of a plurality of communication devices and for providing summarized and rendering information on the communication source to any one of a plurality of communication devices, and not necessarily the same type communication device. For example, if a user is receiving a telephone call, the system of the present invention automatically retrieves, summarizes, and renders information about the person placing the telephone call and provides that information to any of: a PDA, cellular phone, e-mail client, or pager. In contrast, the Zhang method speaks only of email clients and scheduling data provided to these clients in the form of Boolean primitives. Furthermore, the Zhang system does not address the provision of this scheduling information upon receipt of an email communication; rather, it is up to a user to provide their response to a scheduling request at their leisure.

The examiner points to Figure 10, element 1002 of the Zhang invention as providing for detecting the identity of said source. A closer analysis of discussion associated with this component provides for “compos[ing] scheduling message for event.” The examiner has also pointed to column 31, lines 15-65 of the Zhang reference as providing for extracting data

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regarding said detected source, said data comprising any of, "to do" entries, future and past event entries, journal entries, and profile information. However, the sections cited by the Examiner in actuality provide for parameters describing a group event, specifically, Boolean variables and data structures that are added to a group scheduling database. This information is actively transmitted and received from a remote user. In other words, any information obtained from or about the remote user in the Zhang method must actively be transmitted by the remote user himself. In direct contrast, the present invention retrieves caller/message information directly from a PIM relational database without requiring a command from the user. Furthermore, the Zhang method requires that primitives indicating a desire to accept or decline the scheduling request be wrapped in a wrapper that makes them compatible with the system scheduler, PRIOR to transmission by the remote user. In other words, the scheduling system in Zhang does not extract, summarize, or render any data because data supplied by the remote user is received at the central scheduling system already formatted appropriately.

The Examiner also cites column 31, lines 15-65 and column 5, lines 50-55 as providing for retrieving data from a database based on the identity of the sender of the communication. The referenced sections speak to parameters describing group events, specifically, a new group appointment data structure and a function for adding a group event to the group scheduling database. The Zhang reference teaches obtaining a Boolean value indicating a schedule, broadcast, reschedule, or a cancellation from a recipient of a scheduling request. In contrast, the present invention is automatically triggered by the receipt of communication in *any format*, to provide additional information about the identity of the sender in a plurality of different formats to a plurality of different communications devices. In contrast, the Zhang reference simply stores values obtained from an email client in a database. Column 5, lines 50-55 of the Zhang reference

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provide an overview of group scheduling from the perspective of the end user; the Zhang reference requires a remote user to provide the centralized scheduling system with data, NOT vice versa as with the present invention. In column 10, lines 1-20 of Zhang, as cited by the Examiner, the recipient client receives a plain text scheduling email message that it can only respond to by "accepting" or "declining." The Examiner has cited column 10, lines 50-60 as providing for summarizing data extracted from a relational database based on the identity of the sender; in actuality, these cited sections speak to graphical user interfaces, and different STATIC views of schedules that "a user wishes to track."

Column 6, lines 15-45 of Zhang are referenced by the Examiner as providing for rendering data in one or more electronic devices associated with the recipient of incoming communication; the referenced sections make no mention of communication to any personal device, any formatting, or summarizing of information. Rather, Zhang simply provides that scheduling messages are processed upon transmit and receipt from a remote client. Basically, the Zhang reference teaches a method to schedule group appointments between those who do, and those who do not have proprietary Sidekick<sup>TM</sup> scheduling software. Figure 11, element 1103 of the Zhang reference, as referenced by the Examiner, provides for parsing messages from IDENTIFIED senders and recipients whereas the present invention provides for *detecting the identity* of a communication sender and *obtaining further information* on that sender.

With regards to dependant claims 2-9, 11-13, and 15-22, the above-mentioned arguments substantially apply in that the claims inherit the limitations of the claims from which they depend.

With regards to independent claims 23 and 27, the Examiner cites the Arent reference as providing for facilitating business transactions, based on information retrieved over the World

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Wide Web. The Arent reference is included primarily for its teaching of an authentication method that informs a user as to the success or failure of a security or authentication protocol. The Arent reference, in figure 2, elements 200, 240, 250, and 270 provides for requesting proof of certification from a merchant, authenticating the merchant, and certifying or refusing to certify the merchant as authentic. The Arent reference simply ensures that a merchant "is who he says he is". In other words, the only information that is used to make this certification is information provided by the merchant itself; no other information is searched for, retrieved, or extracted. In contrast, the present invention provides for detecting the identity of the business, and then accessing the World Wide Web *to find more information about the business and summarizing this extracted information related to the detected identity*. The present invention provides for more than simply authenticating the identity, it provides a user about to engage in a business transaction more information about the business with which they are about to transact business. The Arent reference teaches the opposite; an "electronic" wallet that holds information related to the user, NOT to the business.

The above-mentioned arguments substantially apply to dependant claims 24, 25, and 26 as they inherit all the limitations of the claims from which they depend.

#### REJECTIONS UNDER 35 USC § 103(a)

Claims 3 and 17 stand rejected under 35 USC § 103(a) as being unpatentable over Zhang as applied to claim 1, and further in view of Kim (USP 6546002). In addition, claims 5, 6, 15 and 16 stand rejected under 35 USC § 103(a) as being unpatentable over Zhang as applied to claims 1 and 14, and further in view of Godfrey et al. (USP 6463463).

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To establish a *prima facie* case of obviousness under U.S.C. § 103, three basic criteria must be met. First, there must be some suggestion or motivation, either in the references themselves or in the knowledge generally available to one of ordinary skill in the art, to modify the reference or to combine reference teachings. Second, there must be a reasonable expectation of success. Finally, the prior art reference (or references when combined) must teach or suggest all the claim limitations.

With regards to claims 3 and 17, the above-mentioned arguments made for independent claims 1, 10, and 14 equally apply. Furthermore, the Examiner has cited column 1, line 5 through column 4, line 60 of the Kim reference as providing for detecting the identity and retrieving, extracting, summarizing, and rendering additional information about the sender of the communication wherein the communication is sent over any of sockets, JMQ, RPC, or RMI. The Kim reference is primarily provided for its discussion of providing portability to user configuration settings, in other words, to recreate menu settings and bookmarks from one device in another. The Kim reference makes no mention of automatically triggering the provision of menu settings and bookmarks by the receipt of an incoming communication. Rather, the Kim reference teaches a "mobile interface agent" that "allows a user to access specific documents files, programs, applications" (see column 4, lines 5-10).

Furthermore, with regard to claim 17, the Examiner has cited column 11, lines 30-37 of the Kim reference as providing for detecting the identity and retrieving, extracting, summarizing, and rendering additional information about the sender of the communication from a relational database that is accessible via search query language (SQL). However, the information discussed in Kim is profile data regarding a user's choice of menu configurations and bookmarks. In addition, Kim does not teach or even suggest summarizing or rendering this information for use



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on another device; rather, the referenced sections simply speak to modifying profile data stored in a database.

With regards to claims 5, 6, 15, and 16, the above-mentioned arguments made for independent claims 1, 10, and 14 equally apply. The Examiner references column 1, line 15 through column 6, line 25 of the Godfrey reference as providing for re-directing calendar event messages; the Godfrey reference simply re-directs email attachments (see figure 7). The Godfrey reference does not teach or suggest rendering or summarizing identity information as does the present invention. The "ICAL" format disclosed by Godfrey as referenced by Examiner in column 2, lines 30-40 simply discloses a data structure in which the data is enclosed such that it may be transmitted between platforms to allow interoperation. By contrast, the goal of the present invention is simply to provide information on the identity of a communication source in any manner appropriate to the recipient communication device, by summarizing and rendering data. The Examiner has also cited column 20, lines 10-30 as providing for a chronological ordering of items in iCalendar format, however, a closer reading of the reference section makes no mention of chronology. Rather, Godfrey simply discloses, in the cited sections, a "Device Screen" and included information that is invoked as an email attachment is opened. Godfrey does not teach or suggest receiving the meeting information in any other format than an email attachment.

### SUMMARY

As has been detailed above, none of the references, cited or applied, provide for the specific claimed details of applicants' presently claimed invention, nor renders them obvious. It

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is believed that this case is in condition for allowance and reconsideration thereof and early issuance is respectfully requested.

As this amendment has been timely filed within the set period of response, no petition for extension of time or associated fee is required. However, the Commissioner is hereby authorized to charge any deficiencies in the fees provided to Deposit Account No. 12-0010.

If it is felt that an interview would expedite prosecution of this application, please do not hesitate to contact applicants' representative at the below number.

Respectfully submitted,



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May 18, 2005